



04-17-01

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j1055 U.S. PTO



04/16/01

Case No. 10371/8

PATENT APPLICATION TRANSMITTAL LETTER

To the Commissioner for Patents:

Transmitted herewith for filing is the patent application of: Peter Ciampi and Eric Zitzewitz for : Fair-Value Pricing of a Financial Asset.

Enclosed are:

- ☒ 3 sheet(s) of drawings, 32 pages of application (including title page), and the following Appendices : ____.
- ☒ Declaration.
- ☒ Power of Attorney.
- ☐ Verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27.
- ☒ Assignment transmittal letter and Assignment of the invention to : Interactive Data Corporation.
- ☒ Information Disclosure Statement, Form PTO-1449 and 31 cited references; Request Not to Publish; and return postcard.

jc979 U.S. PTO
09/835605
04/16/01

| Claims as Filed | Col. 1 | Col. 2 |
|-----------------------------------|-----------|-----------|
| For: | No. Filed | No. Extra |
| Basic Fee | | |
| Total Claims | 32-20 | 12 |
| Indep. Claims | 5-3 | 2 |
| Multiple Dependent Claims Present | | |

*If the difference in col. 1 is less than zero, enter "0" in col. 2.

| Small Entity | |
|--------------|--------|
| Rate | Fee |
| | \$ 355 |
| x\$9= | \$ |
| x\$40= | \$ |
| +\$135= | \$ |
| Total | \$ |

| Other Than Small Entity | |
|-------------------------|---------|
| Rate | Fee |
| | \$ 710 |
| 12x\$18= | \$216 |
| 2x\$80= | \$160 |
| 0+\$270= | \$0 |
| Total | \$1,086 |

- ☐ Please charge my Deposit Account No. 23-1925 in the amount of \$: _____. A duplicate copy of this sheet is enclosed.
- ☒ Checks in the amount of \$: 1,086 to cover the filing fee, and \$40 to cover the recordation of Assignment fee are enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☒ Any additional filing fees required under 37 CFR § 1.16.
- ☒ Any patent application processing fees under 37 CFR § 1.17.
- ☐ The Commissioner is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☐ Any filing fees under 37 CFR § 1.16 for presentation of extra claims.
- ☐ Any patent application processing fees under 37 CFR § 1.17.
- ☐ The issue fee set in 37 CFR § 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 CFR § 1.311(b).

April 16, 2001
Date
Matthew J. Kelly
BRINKS HOFER GILSON & LIONE
Registration No. 42,716



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PTO/SB/35 (11-00)

Approved for use through 10/31/2002. OMB 0651-0031

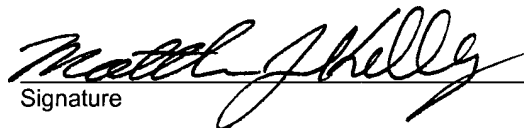
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

| | | | |
|--|----------------------|---|-----------------|
| REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i) | First Named Inventor | | Peter L. Ciampi |
| | Title | Fair-Value Pricing of a Financial Asset | |
| | Atty Docket Number | | 10371/8 |

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

April 16, 2001

Date


Signature

Matthew J. Kelly

Typed or Printed Name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.